

CG Compass (USA) LLC

Form CRS (Customer Relationship Summary) - June 2021

CG Compass (USA) LLC is registered with the Securities and Exchange Commission (SEC) as a broker-dealer, is a member of the Financial Industry Regulatory Authority (FINRA) and the Securities Investor Protection Corporation (SIPC). We are a broker dealer and provide brokerage accounts and services rather than advisory accounts and services. Brokerage and Investment Advisory services and fees differ, it is important for you to understand these differences. Free and simple tools are available to research firms and financial professionals at investor.gov/CRS. This site also provides educational materials about broker-dealers, investment advisers and investing in general.

What investment services and advice can you provide me?

We offer brokerage services in connection with the purchase and sales of securities.

- If you open a brokerage account, you will pay us a ***transaction-based fee***, generally referred to as a commission, every time you buy or sell an investment.
- You will select investments and you will make the ultimate investment decision regarding the investment strategy and the purchase or sale of investments. Generally, we do not accept accounts of less than USD750,000, but we reserve the right to waive this minimum on a case-by-case basis.

Questions you might ask one of our financial professionals

Given my financial situation, should I choose a brokerage service? Why or why not?
How will you choose investments to recommend to me?
What is your relevant experience, including your licenses, education and other qualifications? What do these qualifications mean?

What fees will I pay?

- The principal fees assessed on a brokerage account are trade commissions that are charged every time you carry out a trade in your account. The more transactions in your account, the more fees we charge you. A possible conflict of interest would be encouraging a retail investor to engage in transactions.
- With stocks or exchange-traded funds (ETFs), this fee is usually a separate commission. With other investments, such as bonds, this fee might be part of the price you pay for the investment (called a “**mark-up**” or “**mark down**”). With mutual funds, this fee (typically called a “**load**”) reduces the value of your investment.
- Fees will vary. The amount you pay will depend, for example, on how much you buy or sell, what type of investment you buy or sell, and/or what kind of account you have with us.
- Some investments (such as mutual funds) impose additional fees that will reduce the value of your investment over time.

You will pay fees and costs whether you make or lose money on your investments. Fees and costs will reduce any amount of money you make on your investments over time. Please make sure you understand what fees and costs you are paying.

A question you might ask one of our financial professionals

Help me understand how these fees and costs might affect my investments. If I give you \$10,000 to invest, how much will go to fees and costs, and how much will be invested for me?
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What are your legal obligations to me when providing recommendations? How else does your firm make money and what conflicts of interest do you have?

When we provide you with a recommendation, we have to act in your best interest and not put our interest ahead of yours. At the same time, the way we make money creates some conflicts with your interests. You should understand and ask us about these conflicts because they can affect the recommendations we provide you. Here are some examples to help you understand what this means:

Third-Party Payments: We receive 12b-1 fees from mutual funds, or the equivalent fees in the case of offshore funds, as well as fees for cash sweep products held in your brokerage account. This means we have a financial incentive to offer certain investments or products.

Revenue Sharing: We receive a portion of the revenue that the custodian receives from certain product sponsors for investing client assets in their products. This means we have an incentive to recommend certain investments to you.

Proprietary Products: Certain funds which you may elect to invest in are managed by an affiliate, which means that we may indirectly benefit if you elect to invest in these certain funds.

A question you might ask one of our financial professionals

How might your conflicts of interest affect me, and how will you address them?
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How do your financial professionals make money?

Our financial professionals are compensated with a base salary, quarterly firm performance bonuses and are eligible for a discretionary annual bonus. They do not receive direct compensation related to investments sold (such as product sales commissions) nor any other form of non-cash compensation.

Do your financial professionals have legal or disciplinary history?

None of our financial professionals have any legal or disciplinary history. Visit Investor.gov/CRS for a free and simple search tool to research us and our financial professionals

A question you might ask one of our financial professionals

As a financial professional, do you have any disciplinary history? For what type of conduct?
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Additional Information

If you would like additional, up-to-date information or a copy of this disclosure, please call 212 355 7630 M-F 9AM – 6PM EST.

A question you might ask one of our financial professionals

Who is my primary contact person?

Is he or she a representative of an investment adviser or a broker-dealer?
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Who can I talk to if I have concerns about how this person is treating me?
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